

# TRANSFERS

## Filing Requirements Checklist

(Applicable Authority: KRS 278.020(4) and (5) and 807 KAR 5:001, Section 8)

Case No. \_\_\_\_\_ Utility Name \_\_\_\_\_ Received Date \_\_\_\_\_ Form Circulation Date \_\_\_\_\_

### Instructions:

- 1) Each Division noted by checkmark ( ) is to complete its review and pass on within two days of receipt.
- 2) This form is to list only the specific filing deficiencies as identified in the regulations. If additional information is needed, an information request must be issued.
- 3) Staff member should use initials and list date review is completed.
- 4) Return to Docket Section following review by all Divisions.

### Reviewed by Following Divisions:

Staff Member

Date

_____	Filings Division	_____	_____
_____	Financial Analysis	_____	_____
_____	Engineering	_____	_____
_____	Legal	_____	_____

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	<u>Requirement Met</u>		<u>Waiver Requested</u>	<u>Approve Waiver?</u>	
			<u>YES</u>	<u>NO</u>		<u>YES</u>	<u>NO</u>
Legal	KRS 278.020(4)	The names and qualifications of operating personnel, and any other evidence to show new owners have financial, technical, and managerial abilities to operate system, e.g., income tax records, financial statements, etc.	_____	_____	_____	_____	_____
Filings Division	KRS 278.020(5)	Application verified by oath or affirmation.	_____	_____	_____	_____	_____
<u>807 KAR 5:001:</u>							
Filings Division	Section 8(1)	Full name and post office address of applicant and a reference to the particular provision of law requiring Commission approval.	_____	_____	_____	_____	_____
Filings Division	Section 8(2)	The original and 10 copies of the application with an additional copy for any party named therein as an interested party.	_____	_____	_____	_____	_____

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	<u>Requirement</u>		<u>Waiver Requested</u>	<u>Approve Waiver?</u>	
			<u>Met</u>			<u>YES</u>	<u>NO</u>
			<u>YES</u>	<u>NO</u>			
Legal	Section 8(3)	If applicant is a corporation, a certified copy of the Articles of Incorporation and all amendments thereto <u>or</u> if the articles were filed with the PSC in a prior proceeding, a reference to the style and case number of the prior proceeding.	_____	_____	_____	_____	_____

The following is a checklist of items which are not required to be filed with an Application for Transfer but which ideally should be filed with an application in order to expedite the processing of the application:

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	<u>Requirement</u>		<u>Waiver Requested</u>	<u>Approve Waiver?</u>	
			<u>Met</u>			<u>YES</u>	<u>NO</u>
Legal		1. Signed Purchase/Sale Agreement, or at least some kind of reduction of the terms of the transfer to writing, e.g., a letter of understanding.	_____	_____	_____	_____	_____
Legal		2. An adoption notice pursuant to 807 KAR 5:011, Section 11	_____	_____	_____	_____	_____
Legal		3. If a sewer, the buyer must have a 3rd party beneficiary agreement or other evidence of financial integrity deemed sufficient by the PSC.	_____	_____	_____	_____	_____